

# Child Welfare Services Case Management System

Maintenance and Operations Procurement  
and Transition Support Services

Project Management Plan  
October 13, 2000

**Approvals**

**Project Name:** Child Welfare Services Case Management System (CWS/CMS) Maintenance and Operations (M&O) Procurement

**Document Name:** Project Management Plan (PMP)

**Approval Signatures:**

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Project Manager  
Date:

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CWS/CMS M&O Project Director  
Date:

**Coordinating Signatures:**

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**Logicon:** Manager, Health and Human Service Department  
Date:

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## 1. Overview

### 1.1 CWS/CMS M&O Procurement Project Summary

#### 1.1.1 Purpose, Scope, and Objectives

##### 1.1.1.1 Purpose

The purpose of the CWS/CMS M&O Procurement Project is to replace the current CWS/CMS M&O contract by competing and awarding a new contract from which Authorized Agencies will procure Goods and Services to:

- Transition operations and services from the current contract to the new contract
- Maintain, operate, and enhance the State of California's current CWS/CMS application and infrastructure for at least five years
- Train customers from the Authorized Agencies on the CWS/CMS application and infrastructure hardware and software
- Provide for or support the delivery of Child Welfare Services programs and services for five years with two optional one-year extensions.

##### 1.1.1.2 Scope

The scope of the Procurement Project is defined as those actions required to fulfill the purpose and achieve the objectives of the CWS/CMS M&O Procurement. This will be limited to the procurement processes and tasks required to develop the procurement strategy, prepare the procurement documentation, evaluate vendors proposals, award the contract to the selected vendor, and manage the transition from the current contract to the new contract. In addition, the scope will include efforts to coordinate with responsible County, State, and Federal Agencies throughout the project as required.

##### 1.1.1.2.1 Scope of the CWS/CMS M&O Procurement

The CWS/CMS M&O Procurement scope is defined as the range of Goods and Services authorized to be procured using the CWS/CMS M&O Contract. The CWS/CMS M&O Procurement scope is established as those Goods and Services to:

- Maintain, operate, and enhance the State of California's existing CWS/CMS application and infrastructure
- Provide for or support the delivery of Child Welfare Services programs and services under Titles IV-B and IV-E of the Social Security Act

##### 1.1.1.2.2 Scope of the CWS/CMS M&O Contract

The CWS/CMS M&O Contract scope is defined as those agencies that are authorized to procure Goods and Services through the CWS/CMS M&O Contract for the purpose of engaging in Authorized Activities.

### 1.1.1.3 Objectives

The CWS/CMS M&O Procurement Project's Objective is to produce a CWS/CMS M&O contract that:

- Implements the Procurement Scope
- Is executable by agencies within the Contract Scope
- Is awarded according to the State's schedule
- Conforms to the Stakeholders' financial resources constraints

The CWS/CMS M&O contract must include but not be limited to the following requirements:

- Operations Services to sustain the viability of the CWS/CMS
- Scalability to accommodate changes such as workload growth, changes in functionality, and increases in data processed, data communicated, the number of users, performance, interfaces, etc
- Systems engineering and technical consulting services such as local infrastructure engineering, support to other contractors, major CWS/CMS application enhancements, new CWS development, and pilot projects
- Software and equipment maintenance services
- Software modifications services, as required, including those that will bring the CWS/CMS application into compliance with projected Federal and State legislative and regulatory requirements, while maintaining responsiveness to the CWS/CMS program needs
- Network and user equipment, and associated maintenance and support services
- Training Services

### 1.1.1.4 Priorities

**Quality:** The CWS/CMS M&O Procurement Project places highest priority upon the quality of the Goods and Services to be procured under the new CWS/CMS M&O contract. The CWS/CMS M&O Contract will foster competent system management to ensure proactive management measures are taken by the contract awardee to assure an acceptable quality of Goods and Services. The CWS/CMS M&O Contract will include enforceability of, and accountability for, high standards of performance. The CWS/CMS M&O Contract will levy substantial Liquidated Damages if unacceptable quality-of-service impacts do occur.

**Cost:** Following the quality of Goods and Services, the cost of the Goods and Services to be procured under the new CWS/CMS M&O contract is most important. The Types of Business are tailored to foster competitive pricing to ensure Authorized Agencies procure their Goods and Services at the best price possible at the time of purchase.

**Scope:** The scope of Goods and Services able to be procured such that the Authorized Agencies can provide for or support the delivery of Child Welfare Services is the next priority. The CWS/CMS M&O Contract will contain a range of Goods and Services broad enough and well defined enough to meet the needs of Authorized Agencies to perform Authorized Activities.

**Schedule:** The current contract provides an acceptable quality of support. Therefore, the schedule for completing the Procurement Project becomes the least priority when schedule is compared to quality, cost, and scope.

## 1.1.2 Assumptions and Constraints

### 1.1.2.1 Assumptions

The CWS/CMS M&O Procurement Project assumes:

- The project's Stakeholders are, and will remain, invested in sustaining project progress and participate in managing the CWS/CMS M&O Project Procurement and Contract Scope throughout the project's duration
- The State and Counties will provide adequate resources to validate the Business and Technical Requirements for CWS/CMS M&O
- The State and Counties will designate a single point of contact person for the CWS/CMS M&O project
- The State and Counties will provide adequate resources to evaluate the CWS/CMS M&O Bidders' Proposals
- The State will resolve State-controlled issues that affect the project plan and schedule
- The State will provide all contractually required Procurement Project administration hardware, software and support for Procurement Project staff during the term of the Procurement Project.
- The Procurement Project schedule and deliverable completion dates will be reviewed and revised, by the State as appropriate, as a component of the Procurement Project Work Plan
- A functional and technical requirements baseline for the CWS/CMS M&O Procurement Project will be established upon the Health and Human Services Agency Data Center (HHSDC) approval of the CWS/CMS M&O Request for Proposal (RFP)
- Changes to Procurement and Contract Scope will be applied to the Procurement Project in accordance with the prescribed change management processes
- Changes to the functional and technical requirements baseline will be applied in accordance with the prescribed change management processes

### 1.1.2.2 Constraints

The CWS/CMS M&O Procurement Project is constrained such that:

- The Contract will be awarded to allow sufficient time following it to complete a successful Transition at least one month prior to the expiration of the current contract in July 2002

- The resources required to achieve the CWS/CMS M&O Procurement Project's objectives do not exceed the allocations of resources stated in this Procurement Project Management Plan
- The Contract must be submitted to and approved by the Administration for Children and Families

### 1.1.3 Project Deliverables

The following documents are deliverables for the CWS/CMS M&O Procurement Project and will be prepared under the CWS/CMS M&O Procurement Project Management and Transition Support Services:

**Table 1.1: Project Management and Transition Support Services Deliverable Documents**

DOCUMENT	PLANNED COMPLETION DATE
CWS/CMS M&O Procurement Project Management Plan	September 2000
CWS/CMS Contract Oversight Plan	February 2002
CWS/CMS M&O Procurement Project Monthly Status Reports	10th day of every Month

Non-deliverable work products required to complete the CWS/CMS M&O Procurement Project are detailed in Table 1.2. The following are additional CWS/CMS M&O Procurement Project documents to be prepared by the Project Team:

**Table 1.2: CWS/CMS M&O Procurement Project Non-deliverable Documents**

DOCUMENT	PLANNED COMPLETION DATE
CWS/CMS M&O Request For Proposal	January 2001
CWS/CMS M&O Evaluation Criteria	April 2001
CWS/CMS M&O Model Contract	April 2001
CWS/CMS M&O Evaluation Handbook	April 2001
CWS/CMS M&O Vendor Evaluation Summary Report	July 2001
CWS/CMS M&O Development APDU	August 2001
CWS/CMS M&O Bidders' Proposal Deficiencies Report	August 2001
CWS/CMS M&O Final Contract	January 2002
CWS/CMS M&O Director's DOIT Monthly Report	Ongoing



### 1.1.4 Schedule Summary

CWS/CMS M&O Procurement commenced in 1997. The following major work steps are scheduled for completion by June 2002:

- Plan the CWS/CMS M&O Procurement Project
- Develop the RFP
- Develop the Evaluation Criteria
- Evaluate the Vendor Proposals
- Negotiate and award CWS/CMS M&O Contract
- Support CWS/CMS M&O Project Management Office Transition
- Conclude the CWS/CMS M&O Procurement
- Conclude the CWS/CMS M&O Procurement Project

## 1.2 Evolution of the Plan

The CWS/CMS M&O Procurement Project was initiated prior to the development of the PMP. The PMP was tailored based on the author's understanding of the management intent of the Project Management Institute's (PMI) Guide to the Program Management Body of Knowledge and the Institute of Electrical and Electronic Engineers (IEEE) standard for Software Project Management Plans (1058-1998). The IEEE Standard 1058-1998 applies only partially to a procurement project and the PMI PMBOK addresses procurement projects in a generalized manner. The PMP was developed during the execution of the CWS/CMS M&O Procurement Project and documented the processes to execute and control the CWS/CMS M&O Procurement Project. The Project Director and Project Manager will conduct scheduled reviews of the Project Management Plan on a quarterly basis to identify required updates. Unscheduled updates will incorporate only major changes that significantly vary the CWS/CMS M&O Procurement Project PMP. Unscheduled updates will be coordinated and approved by the Project Director prior to incorporating an out of cycle change. All updates and changes to the PMP shall be controlled by the Project Manager and approved by the Project Director prior to incorporation into a new version of the document. Changes to the PMP will be tracked through the document version number and recorded in the revision history table of the PMP. Updated versions of the PMP will be disseminated to the appropriate project personnel and applicable stakeholders.

## 2. References

- IEEE Standard for Software Project Management Plans, <http://standards.ieee.org/reading/ieee/std/se/1058-1998>
- Logicon Proposal 9000-5007-129, January 11, 2000, CWS/CMS Maintenance and Operations (M&O) Procurement Project Management and Transition Support Services
- Logicon Master Services Agreement Contract: MSA # 5-96-70-18 Miscellaneous Services
- A Guide to the Program Management Body of Knowledge, 1996, PMI

### 3. Definitions

**Authorized Agencies:** Public agencies and tribal organizations engaged in Child Welfare Services activities as authorized in the approved State Plan for Child Welfare Services.

**Authorized Activities:** Services and related activities delineated in the approved State Plan for Child Welfare Services.

**Baseline:** A work product that has been formally reviewed and accepted by the involved parties. A baseline should be changed only through formal configuration management procedures. Some baselines may be project deliverables while others provide the basis for further work.

**Horizontal Consistency:** The concept that requirements, conditions, or criteria must agree with their collateral requirements, conditions, or criteria. Horizontal Consistency assures referential integrity by ensuring requirements, conditions, or criteria in one part of a revised document(s) are reflected in other related, dependent document(s). Horizontal Consistency also ensures acceptable requirements, conditions, or criteria are not mutually exclusive to other acceptable requirements, conditions, or criteria.

**Milestone:** A scheduled event used to measure progress. Examples of major milestones for software projects may include an acquirer or managerial sign-off, baselining of a specification, completion of system integration, and product delivery. Minor milestones might include baselining of a software module or completion of a chapter of the user's manual.

**Work Breakdown Structure (WBS):** A hierarchical structure used to organize tasks for reporting schedules and tracking costs. Work Breakdown Structures may be represented by using task IDs or by assigning WBS codes to each task.

### 4. Project Organization

#### 4.1 External Interfaces

The California Department of Social Services (CDSS) is a primary CWS/CMS M&O Procurement Project stakeholder. CDSS is the principal agency administering the Child Welfare Services program at the State level. CDSS is responsible for all program policy determinations. CDSS advocates, approves, and provides funding for Child Welfare Services projects. The CDSS Branch responsible for the CWS/CMS will work closely with the CWS/CMS Project to ensure compliance with program rules, regulations, and policy.

Other CWS/CMS M&O Procurement Project Stakeholders include the following:

**RFP Steering Committee:** The RFP Steering Committee consists of members representing the State and County agencies that provide for or support the delivery of Child Welfare Services programs and services. The RFP Steering Committee confers quarterly and convenes as needed to address strategic-level CWS/CMS M&O Project vision, objectives, and requirements concerns and issues. The RFP Steering Committee also considers and approves/disapproves CWS/CMS M&O Procurement Project requests for resources. Membership includes:

- Project Director, CWS/CMS M&O Procurement Project
- Deputy Director, Children and Family Services Division, CDSS
- Deputy Director, Information Systems Division, CDSS

- Branch Chief, CWS/CMS Support Branch, CDSS
- Director, Human Services Department, Siskiyou County
- Director, Social Services Department, Yolo County
- Director, Human Resource Agency, Glenn County
- Management Information Division Chief, Department of Children and Family Services, Los Angeles County
- Administrator, Public and Protection and Human Services Agency, Sacramento County

**County Welfare Directors Association (CWDA):** Another primary stakeholder, the CWDA consists of county welfare directors and their designees who meet regularly to address program, policy, welfare automation, and other topics. CWDA membership comes from the principal agencies providing Child Welfare Services at the County level. The CWDA reviews and validates CWS/CMS M&O Requirements by proxy via the County Liaison Consultant.

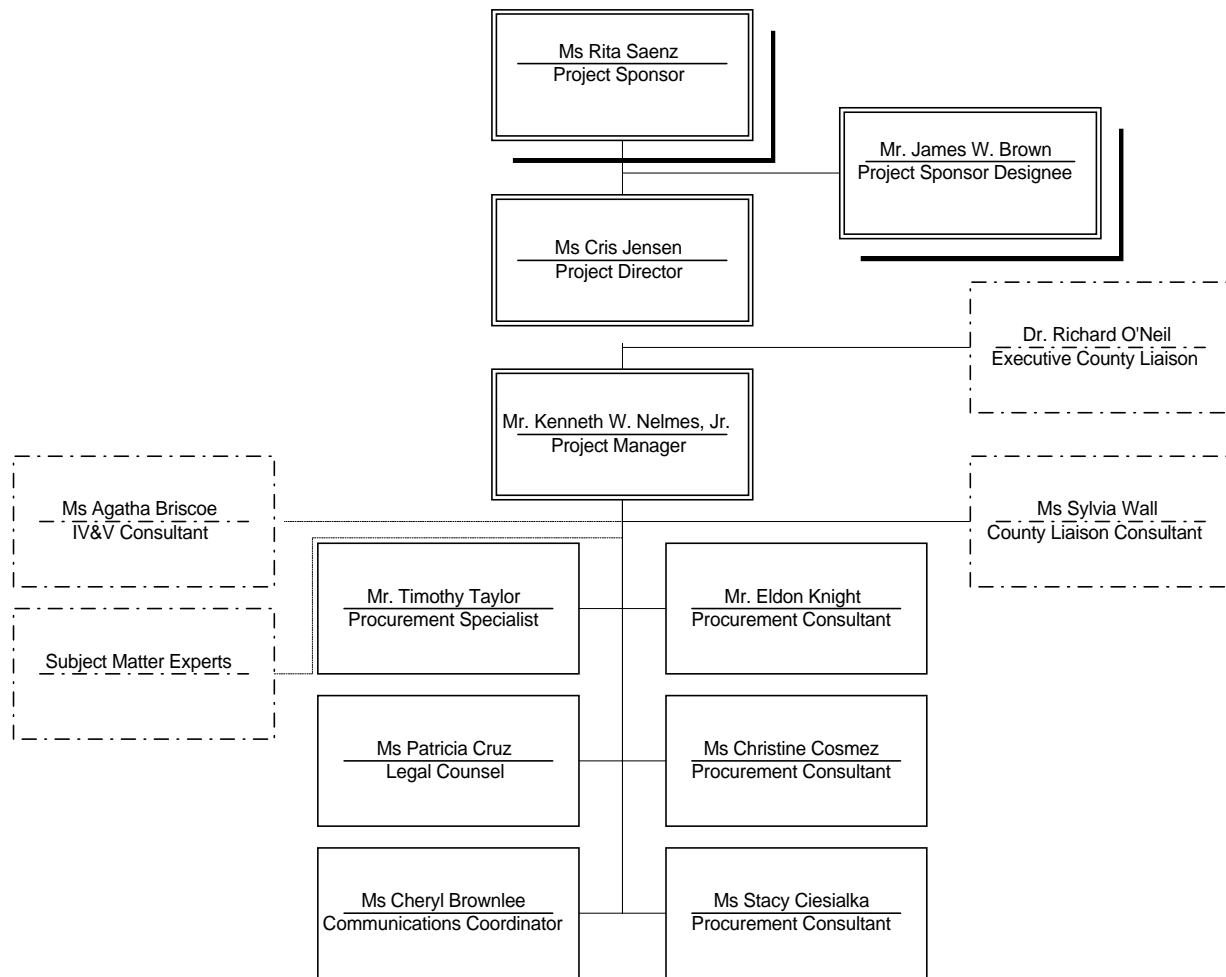
**Federal Agency:** The CWS/CMS M&O Procurement Project interacts with one federal agency: the Administration for Children and Families (ACF). The ACF's Administration on Children, Youth, and Family Children's Bureau validates the CWS/CMS M&O Procurement Project Scope, Cost, and Schedule. The ACF Child Welfare Services Program office also monitors and reviews the project's direction and progress, and ensures appropriate funding for procurement, development, and implementation activities. The ACF Office of State Systems monitors and reviews the CWS/CMS M&O Procurement Project's technical direction and progress, and advises the Children's Bureau on procurement, development, and implementation issues.

**State Control Agencies:** The primary State control agencies for the CWS/CMS M&O Project are the California Health & Human Services Agency (CHHSA), the Department of Information Technology (DOIT), the Department of Finance (DOF), and the Department of General Services (DGS). These agencies govern strategic, technology, fiscal and procurement policy for the Child Welfare Services Program.

## 4.2 Internal Structure

The CWS/CMS M&O Procurement Project Team is comprised of members from the DGS, HHSDC, CDSS, and contracted consultants including County Liaison. The CWS/CMS M&O Procurement Project team consists of State and contracted consultants in a strong-matrix organization where the Project Manager exercises medium-to-high decision authority for team member roles, responsibilities, and assignments, and has accountability for team productivity and the accomplishment of team objectives. Internal interfaces focus primarily on intra-team communication and coordination of procurement activities.

### 4.2.1 Organizational Structure



### 4.3 Roles and Responsibilities

The CWS/CMS M&O Procurement Project roles and responsibilities are:

**Project Sponsor:** Authorizes the project and provides strategic program guidance. Establishes the strategic direction for the vendor selection and authorizes the procurement.

**Project Director:** Defines policy, strategy, and oversight of products, processes, and procedures. Directs the development, planning, control and closure of the project, and reports project progress and issues to the Project Sponsor. Directs the implementation of policy and strategy, and reviews RFP team products for approval. The Project Director represents the RFP Team to State control agencies. Collaborates with the Project Manager in mediating approval issues involving Project Stakeholders. Provides state resources, authorizes the selection of Evaluation Team members, and identifies sources for and secures the Procurement Specialist, Subject Matter Experts (SME), and legal counsel to support the CWS/CMS M&O procurement process.

**Project Manager:** Provides overall CWS/CMS M&O project management and oversees the development of project deliverables and the CWS/CMS M&O technical requirements. Manages project team, processes, procedures, resources, and schedule. Implements RFP team policy and strategy, and reviews team work products. Collaborates with the Project Director in mediating approval issues involving Project Stakeholders. Provides tactical and strategic recommendations to the Project Director.

**Legal Counsel:** Responsible for legal acceptance of RFP contents. Advises the Project Director and Project Manager on policy, strategy, and oversight legal issues. Supports the Evaluation Team by participating in confidential vendor discussions. Provides legal review of, and advice regarding, procurement documents as required, including the CWS/CMS M&O RFP and the vendor contract. Administers Conflict of Interest / Confidentiality requirements.

**Executive County Liaison:** Advocates and addresses county executive and policy-level issues.

**Procurement Specialist:** Manages the contractual procurement, contract development, and advises the RFP Team. Manages procurement-related RFP content, structure dependencies, and vulnerabilities. Supports the Proposals Evaluation Management Team and the Administrative Compliance Evaluation Team. Interfaces with vendors throughout the contractual procurement process, manages confidential vendor discussions, negotiates contract terms and conditions, and facilitates the contract award.

**County Liaison Consultant:** Represents and advocates Counties' interests and perspectives. Communicates with County constituents and presents the CWS/CMS M&O Procurement Project status at County work group meetings. The County Liaison Consultant coordinates updates to procurement documents to reflect on-going changes in the current CWS/CMS. Responsible for accuracy of current system technical description and requirements contained in the RFP.

**CWS/CMS Project IV&V Consultant:** The **CWS/CMS Project IV&V Consultant** is not an assigned RFP Team members, but augments the RFP Team as needed. Provides independent CWS/CMS Project oversight in accordance with DOIT policy and legislative direction. The CWS/CMS Project IV&V Consultant coordinates updates to procurement documents to reflect on-going changes in the current CWS/CMS. Develops CWS/CMS Project oversight deliverables and assists in the development of CWS/CMS M&O technical requirements.

**Procurement Consultant:** Supports the procurement process by applying approved changes to system requirements, creating addenda to the RFP, processing vendor proposals for assessment by the Evaluation Team, documenting the results of the proposal evaluation process, and coordinating the development of the reference questions. Assists in the development of contracted deliverables and the CWS/CMS M&O business requirements. Assists in the development of Evaluation Criteria and Evaluation Process as they relate to requirements in the RFP. Assists in project and evaluation process management. Provides RFP Quality Assurance and horizontal consistency. Assists with the library development and distribution process.

**Subject Matter Expert:** SMEs are not assigned RFP Team members, but augment the RFP Team as needed. SMEs support the RFP Team when tasked to validate the accuracy of the CWS/CMS M&O business and technical requirements. As temporary members of the Evaluation Team, SMEs participate in the evaluation of vendor proposals where they evaluate proposed solutions to the CWS/CMS M&O business and technical requirements.

**Communications Coordinator:** Coordinates clerical, record keeping, logistic, and administrative support tasks. Responsible for coordinating administrative correspondence between the RFP team and external offices. Responsible for administrative distribution of project deliverables and documents.

### 4.3.1 Personnel Allocations

The following table identifies personnel allocations, based on Roles, to the CWS/CMS M&O Procurement Project Team.

**Table 4-1: Project Team Allocations**

<b>ROLE</b>	<b>NUMBER PERSONNEL ALLOCATED</b>	<b>STATUS</b>	<b>ALLOCATION</b>
Project Director	1	Full-Time	Part
Project Manager Consultant	1	Full-Time	Full
Legal Counsel	1	Full-Time	Part
Executive County Liaison Consultant	1	Part-Time	Part
County Liaison Consultant	1	Part-Time	Part
Procurement Specialist	1	Full-Time	Part
Procurement Project Consultant	3	Full-Time	Full
CWS/CMS Project IV&V Consultant	1	Part-Time	Part
Subject Matter Expert	As needed	Part-Time	Part
Communications Coordinator	1	Full-Time	Part

## 5. Managerial Process Plans

### 5.1 Start-Up Plan

The CWS/CMS M&O Procurement Project was initiated prior to the development of this PMP. Activities related to Start-up were accomplished independently and achieved the objectives of a Start-up plan. This PMP does not include a Start-Up Plan.

### 5.2 Work Plan

#### 5.2.1 Work Activities

The Project Manager is responsible for identifying work activities for the CWS/CMS M&O Procurement Project. The Project Manager will use Microsoft Project to record the work breakdown structure decomposed to a level that allows for accurate estimation of schedule duration and resource requirements. Any modification to the work breakdown structure will be reviewed and approved by the Project Director. The current work breakdown structure is presented in the project schedule in Chapter 9.

### 5.2.2 Schedule Allocation

The Project Manager is responsible for scheduling work activities for the CWS/CMS M&O Procurement Project with the approval of the Project Director. The Microsoft Project plan will be used by the Project Manager to maintain the project schedule. The current schedule allocation is presented in the project schedule in Chapter 9.

### 5.2.3 Resource Allocation

The Project Director and Project Manager allocate resources to each work activity in the project schedule. Procurement Project Team resources are primarily allocated on the basis of Project needs, role responsibilities, and the Job Duty Statements in State of California Master Services Agreement Contracts, respectively. The current resource allocation is represented in the following table.

Table 5-1: CWS/CMS M&amp;O Project Resource Allocation Matrix

MAJOR ACTIVITY	RESOURCES									
	PD	PMC	LC	ECLC	CLC	PS	PPC	IV&V	SME	CC
Project Management Plan	1	1					1	1		
Define Technical Requirements	1	1			1		2	1	1	1
Task Reports		1	1		1	1	3			1
Monthly Status Report		1								
RFP	1	1	1	1	1	1	3	1	1	1
Negotiate Model Contract	1	1	2			1	1			
Develop Evaluation Criteria	1	1	1		1		2	1	1	1
Evaluation Handbook		1					2			
Contract Oversight Plan		1					1	1		
Development APDU	1	1	1	1				1		1
Recommended Vendor Proposal Report	1	1	1		1	1	2			1
Vendor Evaluation Summary Report	1	1				1	2			1



#### 5.2.4 Budget Allocation

The project budget is an aggregate of the total costs to manage the CWS/CMS M&O Project Procurement for HHSDC. Since the CWS/CMS M&O Procurement Project exists as a component of the ongoing Maintenance and Operations of the CWS/CMS, project expenditures occur as both direct and indirect charges. Procurement Project expenditures include State and County executive and staff employees, consultant services, facilities, resources, and travel costs. Indirect costs are not readily quantifiable because they occur as the result of tasks levied on existing State and County agencies for which no charges are levied. The CWS/CMS Project maintains an internal budget allocation process that manages some direct costs as a component of current CWS/CMS costs. The only component of the CWS/CMS M&O Procurement Project budget allocation that is within the scope of this Project Management Plan are the contractual costs of the Logicon CWS/CMS M&O Procurement Project Management and Transition Support Services. The CWS/CMS Project Director and staff submit budget requests based on estimated charges for Logicon CWS/CMS M&O Procurement Project Management and Transition Support Services in Fiscal Year increments. Projected charges are summarized at Resource, Service/Task, Month, Fiscal Year, and Phase boundaries.

### 5.3 Control Plans

#### 5.3.1 Requirements Control Plan (RCP)

The Requirements Control Plan describes the project's approach to define and control changes to the requirements to support the CWS/CMS M&O. The plan will define the processes and procedures to ensure the requirements are clearly defined, properly prepared, and consistent with project stakeholder. The Project Manager is responsible for the execution of the Requirements Control Plan to ensure the requirements are managed and controlled.

##### 5.3.1.1 Purpose

The purpose of this RCP is to define policy, establish procedures, and to allocate responsibilities to define the CWS/CMS M&O requirements.

##### 5.3.1.2 Requirements Definition Process

To accurately define the requirements for CWS/CMS M&O, the Project Team will follow a structured approach in four steps.

**Preparation:** Requirements defined by the CWS/CMS M&O Project that fall within the scope of CWS/CMS M&O Procurement Project will be used as a starting point to draft the CWS/CMS M&O requirements.

**First-Level SME Review:** Sessions to validate the draft requirements will be held with the Subject Matter Experts or their representatives.

**Requirements Review Sessions:** Requirements Review sessions will also be held to review and validate the identified requirements with county, State and CWS Program representatives.

**Document Requirements:** The CWS/CMS M&O Procurement Project Team will check the requirements for consistency and completeness after validation. The requirements will be submitted to Project Stakeholders for review based on interorganizational agreements defining terms and conditions for reviews.

### **5.3.1.3 Requirements Change Control Process**

Changes to the requirements will be subject to a formal review process involving the appropriate stakeholders. The changes will be monitored and tracked utilizing a tracking tool. The database will contain information on the change request, submitter, justification, and impact. Documents affected by the change will be placed under version control to ensure configuration management is maintained.

## **5.3.2 Schedule Control Plan (SCP)**

The Schedule Control Plan describes the project's approach to measure the progress of work completed, compare the actual progress to the planned, and initiate corrective action when the progress falls behind the planned to potentially cause a major milestone to slip. The plan will also specify the types of reviews and tools that are used to monitor and track the project's schedule. The Project Manager is responsible for the execution of the Schedule Control Plan to track and monitor the project's progress and any schedule changes.

### **5.3.2.1 Purpose**

The purpose of this SCP is to define policy, establish procedures, and to allocate responsibilities to manage the project schedule.

### **5.3.2.2 Objectives**

- Manage procurement and transition schedule changes
- Direct a process that will provide Stakeholders with timely and factual information about the procurement and transition schedules
- Direct a process that will allow the CWS/CMS M&O Procurement Project Team to coordinate schedule changes

### **5.3.2.3 External Management**

The project schedule will be baselined at a level of granularity of major tasks where changes in their schedule of accomplishment would affect milestones established by external stakeholder agencies. External coordination is required for schedule changes for major tasks where changes in their schedule of accomplishment would affect milestones established by external stakeholder agencies.

### **5.3.2.4 Internal Management**

The project schedule will be managed at an internal level of granularity such that external agencies are not affected by internal schedule changes. External coordination of schedule changes is not required for tasks where changes in their schedule of accomplishment would not affect the milestones established by external stakeholder agencies.

#### **5.3.2.5 Internal Schedule Reviews**

The Project Manager will conduct a Procurement status meeting with the Project Team on a weekly basis to review the internally managed Procurement project schedule, and record task progress updates in the Project Schedule. The internal review will assess the project's progress and identify internally managed tasks whose accomplishment schedule may impact the externally managed Procurement project schedule.

#### **5.3.2.6 External Schedule Reviews**

The Project Manager and Project Director will review the externally managed Procurement project schedule on a monthly basis. The review will assess the project's progress and identify tasks whose accomplishment schedule may impact the externally managed Procurement project schedule. The Project Director and Project Sponsor will review the externally managed Procurement project schedule on a monthly basis.

#### **5.3.2.7 Stakeholder Schedule Change Requests**

The Project Manager will propose Stakeholder Schedule Change Requests (SSCR) to the Project Director as needed. Stakeholder Schedule Change Requests will be prepared in a timely manner to ensure management of schedule changes such that stakeholders are presented proposed schedule change early enough for them to consider alternative solutions or actions. The Project Director will propose changes to the schedule as required by the Project Sponsor. Schedule changes that affect major milestones must be coordinated with and approved by the Project Sponsor and other Stakeholders. The Project Manager will communicate the changes to the Project Team during the Procurement status meeting and record approved changes to the Project Schedule.

### **5.3.3 Budget Control Plan (BCP)**

The Budget Control Plan describes the project's approach to monitor and track the CWS/CMS M&O Procurement Project costs. The tools and methods to manage the project's cost will be included in the plan. The Project Manager is responsible for the execution of the Budget Control Plan to ensure the project's cost are properly controlled and managed.

#### **5.3.3.1 Purpose**

The purpose of this BCP is to define policy, establish procedures, and to allocate responsibilities to manage the CWS/CMS M&O Procurement Project costs.

#### **5.3.3.2 Process**

The Project Director and staff manage direct charges internally within the current CWS/CMS Project. The Project Manager and the Project Director will review the CWS/CMS M&O Procurement Project budget on a monthly basis. Summaries of Project Manager direct-managed costs will be included in respective Monthly Status Reports. Any cost variance greater than 10% will trigger an assessment of the impact and decision whether to mitigate the variance. The Project Manager will identify and recommend changes for review and approval by the Project Director.

### **5.3.3.3 Methods, Tools, and Techniques**

CWS/CMS M&O Procurement Project direct-managed costs will be calculated and summarized monthly based on charges for the Logicon CWS/CMS M&O Procurement Project Management and Transition Support Services. Microsoft Excel spreadsheets in both Logicon and the CWS/CMS Project Office will be employed to record charge records and calculate the monthly summary charges. The monthly charges will be recorded in the Logicon master M&O Hours Excel spreadsheet and cumulative charges will be reported monthly including with differences between projected costs and actual costs. The Project Manager will compare actual monthly charges to encumbered funds to forecast funds availability for the duration of the Fiscal Year. All projected fund shortfalls or excesses will be reported to the Project Director in a manner that supports reallocation of funds or staff level changes to bring the charges into agreement with the availability of encumbered funds.

### **5.3.4 Quality Control Plan (QCP)**

The Quality Control Plan describes the project's approach to manage and control the quality of the products being produced during the procurement project. The plan will define the processes used to review the products to ensure that they result in a good quality product. The Project Manager is responsible for the execution of the Quality Control Plan to ensure quality measures are being implemented in the development of the products.

#### **5.3.4.1 Purpose**

The purpose of this QCP is to define policy, establish procedures, and to allocate responsibilities to manage the project's quality.

#### **5.3.4.2 Process**

The work products being developed and prepared during the procurement project will be subjected to a structured quality control. The work products being produced will be primarily documents. The documents will first go through a peer review of the Project Team to verify the accuracy and consistency of the content. The Project Manager will provide a management review of the documents for quality and horizontal consistency across related documents. The Project Manager will ensure version control is implemented and documents conform to the applicable standards or policies. The Project Manager will identify and recommend changes to the procurement documents for review and approval decision by the Project Director. The Project Director will review and approve all revisions to all procurement documents.

## **5.4 Communication Management Plan**

The Communication Management Plan describes the project's approach to sharing information effectively. It defines the specific task assignments and the schedule for communicating the project's status. It also identifies the different stakeholders involved and outlines their information needs. The Communication Management Plan specifies the type of communications media to be used throughout the project. The Project Manager will be responsible for the execution of the Communication Management Plan to ensure stakeholders receive information in a timely fashion, and to produce the Project Status Reports. The Communication Management Plan is presented in Appendix B.

## **5.5 Risk Management Plan (RMP)**

The Risk Management Plan describes the project's approach to identifying and managing risk. It defines the approach, process, and methods to be used to manage risk.

### 5.5.1 Risk Management Approach

The CWS/CMS M&O Procurement Risk Management approach builds on a foundation of dynamic risk prevention. The Project Director and the Project Manager will collaborate on identifying risks associated with schedule, tactic, strategy, or policy decisions. This proactive approach will allow the Project Director to address procurement-related decisions in a context that considers and avoids risk.

### 5.5.2 Risk Management Process

The CWS/CMS M&O Procurement Risk Management Process describes the plan to identify, analyze, and respond to risks. The Risk Management Process consists of four main activities: Risk Identification, Risk Quantification, Risk Response Development, and Risk Response Control. Table 5-6 identifies Responsibilities and Tasks for managing risk.

#### 5.5.2.1 Risk Identification

Risk Identification determines which risks, both internal and external, are likely to affect the project, and documents the characteristics of each. Risk Identification is a recurring activity that occurs as needed throughout the duration of the project. Risk Identification produces information to support the quantification activity.

#### 5.5.2.2 Risk Quantification

Risk Quantification evaluates risks and risks interactions to assess the range of possible project outcomes. Risk Quantification is primarily concerned with determining which risks warrant response. The product of Risk Quantification are the decisions that declare which opportunities to control risk will be pursued and which threats presented by the risks will be accepted.

#### 5.5.2.3 Risk Response Development

Risk Response Development assigns responsibility for developing a Risk Contingency Plan to mitigate the risk. The product of Risk Response Development is the Risk Contingency Plan.

#### 5.5.2.4 Risk Response Control

Risk Response Control implements the Risk Contingency Plan. The product of Risk Response Control is corrective action that mitigates Risk. Risk Response Control also includes updates to Risk Quantification and, if needed, Risk Response Control.

**Table 5-6: Risk Management Process**

<b>RISK ANALYSIS STEPS</b>	<b>RESPONSIBILITY</b>	<b>TASKS</b>
Step 1: Identification	Project Manager, Project Team, and Project Director	1-1 Identify Candidate Risks
		1-2 Document Risk Characteristics
		1-3 Review Candidate Risks and Select Risks to Quantify
	Project Manager	1-4 Record Identification
Step 2: Quantification	Project Manager and Project Team	2-1 Determine Risk Probability
		2-2 Determine Risk Severity
		2-3 Determine What Would be Impacted
		2-4 Determine Stakeholders' Tolerance Level
		2-5 Determine Risk Timeframe of Onset
		2-6 Determine Risk Duration
		2-7 Identify Opportunities to Pursue
		2-8 Identify Threats to Accept
Step 3: Response Development	Project Manager	2-9 Record Quantification
	Project Manager and Project Director	3-1 Assign Contingency Plan Responsibilities to Risk Owner
	Risk Owner	3-2 Develop Contingency Plan
	Project Manager	3-3 Record Response Development
Step 4: Response Control	Project Manager and Project Director	3-4 Review Contingency Plan with CWS/CMS M&O Project Sponsor
	Project Manager, Project Team, and Project Director	4-1 Execute Contingency Plan
		4-2 Measure Contingency Plan Execution and Provide Feedback
		4-3 Revise Risk Quantification
	Project Manager	4-4 Record Response Control
	Project Manager and Project Director	4-5 Review and Report Risk Status to CWS/CMS M&O Project Sponsor & Stakeholders as required

### 5.5.3 Methods, Tools, and Techniques

The Risk Management Process Steps detailed in Table 5-6 will be implemented in a Microsoft Access database. A Risk Management System overview is presented in Appendix C.

## 5.6 Closeout Plan

HHSDC will conduct all project closeout activities, including archiving project materials. The Project Manager is responsible for developing and publishing the final report with lessons learned.

### 5.6.1 Successful Project Completion Criteria

- Baseline of clear, achievable, and complete business, functional and technical requirements for the CWS/CMS M&O contract
- A procurement process that correctly translates strategy and costs into an RFP that promotes competition to the extent possible
- Contract is awarded to a vendor with the skill, motivation, resources and time to provide a solution that meets Stakeholders' needs
- Contract is awarded to a vendor within the CWS/CMS M&O Procurement Project's budget, time and scope constraints
- The Contract is approved by the Administration for Children and Families
- Transition-In is completed and accepted by the State

## 6. Technical Process Plan

### 6.1 Process Model

The CWS/CMS M&O Procurement Project consists of five phases. Table 5-4 identifies detailed steps and responsibilities for completing the steps for the five CWS/CMS M&O Procurement Project phases:

**Project Start-up Phase:** The Project Startup Phase commenced in August 1997. This phase included identifying the Project Executive and the establishment of an RFP Team to begin the procurement process. This Phase concluded with the beginning of the Requirements Phase.

**Requirements Phase:** This phase initiated the procurement process by defining customer requirements and documenting them in the Request for Proposals procurement document. The RFP procurement document serves as the only vehicle to communicate Authorized Agencies' mandatory requirements to prospective Bidders. The RFP also communicates procurement processes and explains the scoring and selection process. The RFP solicits Draft and Final Proposals from prospective Bidders. This phase effectively concludes upon the receipt of Draft Proposals. While the primary activity of defining requirements occurs in this phase, RFP revisions will occur in the Development Phase.

**Development Phase:** Draft Proposals submitted by prospective Bidders will be reviewed by the Evaluation Team to identify unacceptable parts of prospective Bidders' Proposals. The process of refining requirements contained in the RFP will continue in the Development Phase to adapt the RFP to a changing environment and lessons learned from Draft Proposals Evaluation. The Evaluation Team will assess Final proposals submitted by prospective Bidders using the scoring and selection process documented in the RFP. Evaluation activity will conclude when the Evaluation Team's assessment identifies the prospective Bidder's proposal that provides the best value to the State. This phase also contains the action of coordinating the selected proposal with Stakeholders and gaining Stakeholders' approval and funding for award of the CWS/CMS M&O contract. This phase concludes after the State awards the new CWS/CMS M&O contract to the selected Bidder and the Administration for Children and Families approves the contract.

**Implementation Phase:** This phase begins when the CWS/CMS M&O contract performance is initiated by the State. Upon ordering Transition Services, the State will direct the CWS/CMS M&O contract awardee to implement the Transition-In Plan. By the end of Transition-In the new CWS/CMS Project Management Office will assume responsibility for delivery of the CWS/CMS M&O services. The Contract Oversight Plan will be finalized within the first 30 days of this phase and will establish the foundation for managing the CWS/CMS M&O contract. This phase concludes when Acceptance Testing of the CWS/CMS M&O Transition-In services is complete and the State decides to terminate the current CWS/CMS contract.

**Conclusion Phase:** This phase implements the Contract Oversight Plan and transfers full responsibility for the CWS/CMS M&O Transition-In Goods and Services to the awardee. Authorized Agencies will be delegated authority to proceed with their utilization of the CWS/CMS M&O contract within the constraints and management structure established by the State. The Final Report with Lessons Learned will be generated and delivered to the State. All remaining resources assigned to the CWS/CMS M&O Procurement Project will be released.

**Table 6-1: Procurement Process Steps**

PROCUREMENT PROCESS PHASE	DETAILED PROCESS STEP	RESPONSIBLE ROLE
Project Start-up	1.1 Identify CWS/CMS M&O Procurement Project Purpose, Objectives, and Strategies	Project Sponsor, Project Director
	1.2 Assign resources to initiate the CWS/CMS M&O Procurement Project	Project Director
	1.3 Activate the CWS/CMS M&O Procurement Project Team	Project Director
Requirements	2.1 Develop a draft RFP	Project Team
	2.2 Release RFP	Procurement
	2.3 Prepare and Submit BCP	Project Sponsor, Project Director
	2.4 Receive Vendor Inquiries	Procurement
	2.5 Document Questions and Responses in RFP Addendum	Project Consultant
	2.6 Prepare RFP Addenda	Project Manager, Project Consultant
	2.7 Release RFP Addenda	Procurement
	2.8 Solicit Draft Vendor Proposals	Procurement
	2.9 Prepare Evaluation Document	Project Consultant
Development	3.1 Evaluate Draft Proposal Requirement Response	Evaluation Team
	3.2 Prepare Clarifying Questions for Vendors	Evaluation Team
	3.3 Solicit Vendor Response to Clarifying Questions	Procurement
	3.4 Conduct Confidential Discussions with Vendors	Negotiation Team



PROCUREMENT PROCESS PHASE	DETAILED PROCESS STEP	RESPONSIBLE ROLE
Development	3.5 Negotiate Contract Terms and Conditions	Negotiation Team
	3.6 Prepare Final RFP Addenda	Project Manager, Project Consultant
	3.7 Release Final RFP Addenda	Procurement
	3.8 Solicit Final Proposals	Procurement
	3.9 Prepare Selection Study Document	Project Consultant
	3.10 Evaluate Final Proposals	Evaluation Team
	3.11 Score Reference Surveys	Evaluation Team
	3.12 Score Cost Proposals	Evaluation Team
	3.13 Recommend the Winning Vendor	Evaluation Team
	3.14 Prepare Recommended Vendor Document	Evaluation Team
	3.15 Secure State and Federal Contract Approval	Project Sponsor, Project Director
	3.16 Secure State and Federal Funding	Project Sponsor, Project Director
	3.17 Issue Notice of Intent to Award Contract	Procurement
	3.18 Award Contract	Procurement
Implementation	4.1 Implement Transition-In Plan	Contractor
	4.2 Finalize Contract Oversight Plan	Project Manager, Project Consultant, Project Director
	4.3 Conduct Acceptance Testing	Contractor, State, Counties
	4.4 Accept the new CWS/CMS	Project Director
Conclusion	5.1 Terminate the old CWS/CMS contract	Project Director
	5.2 Develop the Final Report	Project Manager

### 6.1.1 Procurement Milestones

The Procurement Management Process shall track achievement of the following major milestones:

- **Publishing of the RFP** **June 4, 2000**
- **Receipt of Draft Proposals** **August 25, 2000**
- **Evaluation of Draft Proposals** **November 30, 2000**
- **Receipt of Final Proposals** **March 2, 2000**
- **Scoring of Final Proposals** **TBD**
- **Selection of the Winning Proposal** **TBD**

- **Awarding of the New Contract**
- **Transition to New Contract**

**TBD****June 26, 2002**

## 6.2 Methods, Tools, and Techniques

The Procurement Project will utilize a procurement method based on the State Administrative Manual (SAM), Section 5200 which describes the State of California procurement policies. The steps detailed in Table 5-4 represent the implementation of the procurement method for competitive procurements being utilized during the Requirements and Development Phase of the process model. Throughout the project, both State and Federal policies and procedures will be used to govern the procurement effort. A wide range of tools will be utilized to include Microsoft Access, Excel, Word, and Risk Assessment Model.

## 6.3 Infrastructure Plan

The procurement project will be conducted in a secure facility to ensure that the confidential information related to the procurement activities is controlled. The facility will contain provisions for physical security and entry control. There will be provisions for sufficient office space, desks, and workstations to accommodate the project team and the evaluation team during the proposal evaluation period. The computer workstations will operate in a closed environment on an internal LAN to control access to electronic files. The facility will also provide file storage for vendor proposals and procurement documents.

## 6.4 Product Acceptance Plan

All deliverable products of the CWS/CMS M&O Procurement Project are submitted to the Project Director for approval and acceptance. The terms and condition present in the final CWS/CMS M&O Contract will govern all deliverable products of the CWS/CMS M&O Contract.

# 7. Supporting Process Plans

## 7.1 Configuration Management Plan

The project is only addressing the procurement phase of the project life cycle and does not lend itself to a Configuration Management Plan. Therefore a Project Management Plan for this project will be developed. The Documentation Plan within this PMP will serve as the Configuration Management Plan for the procurement products, and Information Technology Infrastructure is provided and managed as configurable resources within their respective processes.

## 7.2 Verification and Validation Plan

The CWS/CMS Independent Verification & Validation (IV&V) services perform independent oversight in accordance with the Department of Information Technology (DOIT) policy and legislative direction. The IV&V services ensure the procurement documents accurately reflect the CWS/CMS Technical Requirements and include on-going updates and changes to the current CWS/CMS. The IV&V consultant will develop CWS/CMS Project oversight deliverables and assists in the verification of the technical requirements. The IV&V consultant reviews the system requirements in the RFP and verifies the consistency of requirements to the stakeholder needs. Other oversight agencies may request verification and validation on an as-needed basis. Internal Verification and Validation processes are embedded in the development, review, and approval processes for all Procurement Documents.

### 7.3 Documentation Plan

The CWS/CMS M&O Project Procurement requires the development of both deliverable and non-deliverable work products. Procurement documents are reviewed and approved by the Project Manager and the Project Director. As required, the Project Sponsor and Project Stakeholders provide review and approval.

#### 7.3.1 Documentation Process

The Project Team will use the following five-step process to ensure that quality project documents are developed and retained:

**Prepare:** The Project Director or Project Manager will assign the responsibility for developing project documents as appropriate. The assignment will be recorded in the Procurement Project Work Plan and progress will be reported at the weekly Procurement Project Status meeting. The Procurement Project team member responsible for the document will provide the Procurement Project team a detailed outline of the document prior to writing the document to validate that critical components are included.

**Develop:** The team member responsible for the document will develop a draft based on the outline reviewed by the Procurement Project Team. Project management will review the work in progress as appropriate, and discuss modifications. The completed document version 1.0 will be the output of this step.

**Review:** The Project Director, Project Manager, and other team members, as appropriate, will conduct an internal review of the document to ensure that the document meets requirements, and provide feedback to the responsible team member within an established period. Draft document feedback will be communicated electronically using Microsoft Word Track Changes and Comment tools or other coordinated methods. Revised documents will be saved as the same version with the reviewer's initials added to the filename and provided to the team member responsible for the document.

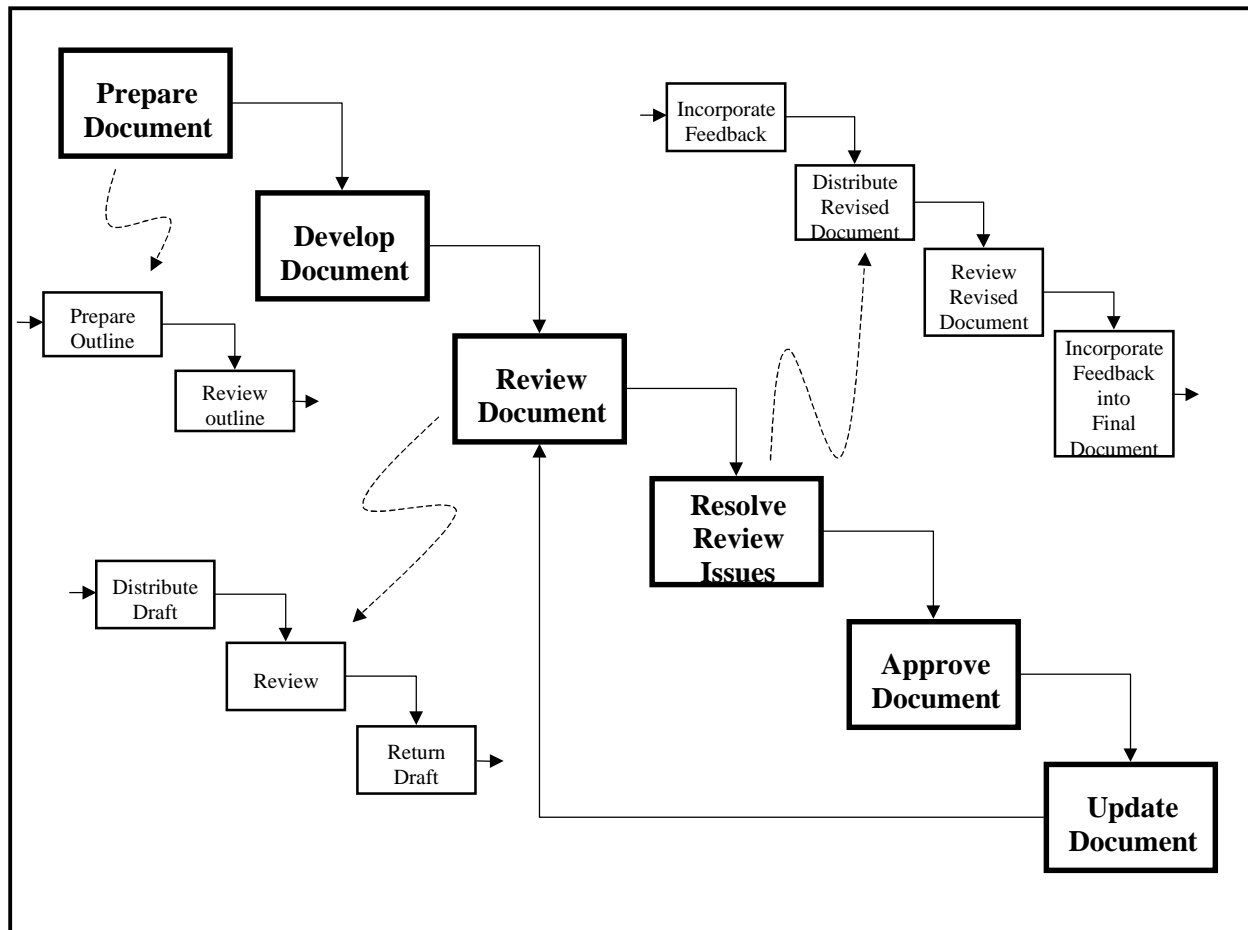
**Resolve:** The responsible team member will evaluate comments from the internal review and incorporate them as appropriate over an established period into a revised document using appropriate version control. The Project Director and Project Manager will review the revised document within an established period and provide feedback. The responsible team member will incorporate feedback into a new version of the document prior to finalization. The output of this step is the final document, with revision history recorded on the approval sheet.

**Approve:** Once the previous four steps have been successfully completed, formal approval of the document will occur. The required approval signatures depend on whether the document is a deliverable or non-deliverable work product. Both deliverable and non-deliverable final documents will be reviewed and approved internally by the Project Director and the Project Manager. The Project Sponsor will review and approve final deliverable documents only. This step will produce a sheet recording approvals. The Project Manager should receive, and is responsible for retaining, a printed copy of each final document with a completed approval document.

**Update:** The Project Manager and Project Director will review and approve updates on a quarterly basis to project documents. The Project Manager and Project Director will determine whether the updates warrant the review and approval of the document by additional parties.

The document development and review process is represented below.

Exhibit 7-1: Document Review Process Diagram



## 7.4 Quality Assurance Plan

The CWS/CMS M&O Project Procurement will use varied techniques to ensure quality assurance activities cover the broad spectrum of project tasks and deliverables. The QA activities include:

**Issue Management:** To ensure that issues are identified, tracked and resolved in a timely basis, an automated Issue Management System has been developed to assist the process. Every project team member will have access to this tool and will be responsible for logging issues identified by their team. This process helps ensure work task quality by identifying and reporting issues that could impact project progress. By managing these issues in a deliberate manner, all project team members and the Project Sponsor (where appropriate) can be informed of these issues and work towards their resolution.

**Revision Management:** To ensure that revisions are identified, tracked and resolved in a timely basis, an automated Revision Management System has been developed to assist the process. Every project team member will have access to this tool and will be responsible for logging revisions authored identified by their team. This process helps ensure work task quality by identifying and managing revisions created to resolve issues. By managing these revisions in a deliberate manner, all project team members and the Project Sponsor (where appropriate) can be informed of the revisions and their relationship to the resolution of issues.

**Risk Management:** The project's risk management approach will help mitigate obstacles that may adversely affect the successful completion of the project. By identifying risks early, the entire project team can proactively plan for those risks, and place appropriate project team hours to risk management and mitigation.

**Communication of Procurement Project Status:** The QA processes will rely heavily on communication of project status. To facilitate this communication, the Project Team will have weekly status meetings. As a component of each of those status meetings, the deliverable progress will be discussed. Since these meetings will occur consistently, they will allow problem identification and resolution to occur on a regular basis.

**Work Plan Review:** An important component of the QA approach is to review and analyze the completion status of tasks and deliverables on a regular basis. In this way, the Project Director and Project Manager can reprioritize work assignments and reallocate resources as necessary. The Work Plan review will serve as an opportunity for the project team to review task sequence and schedule allocation, and shift resource to complete work tasks on schedule. This process will also gauge how effective the project team is completing work tasks, meeting one component of work task quality. Work Plan review will occur at the weekly project status meeting.

**Document Review:** The Project Director and Project Sponsor will perform reviews and assessments on an ongoing basis, both scheduled and ad-hoc, to ensure that quality project documents are being completed on time. The reviews will include a review of the deliverable and non-deliverable documents themselves to ensure their content maps to overall project objectives, and a review of the time to completion and schedule for the delivery of each deliverable.

## 7.5 Reviews and Audits

Oversight agencies request reviews and audits on an as-needed basis. Oversight Agencies, Stakeholders, and the Project Sponsor conduct ad-hoc and regularly scheduled project reviews. The Project Manager provides project status reviews to the Project Director at least once each week.

## 7.6 Issue Resolution Plan (IRP)

An issue is a circumstance, comment, question or problem presented by either internal originators or external originators. Most issues relate to procurement documents, policies, or processes. Some issues need to be resolved in a time-critical manner to prevent impacts on the Procurement Project Schedule. Other issues need to be resolved topically to address Procurement Project Scope, Quality, or Cost topics. In some cases Scope, Quality, or Budget issues also affect the Procurement Project Schedule and become Schedule issues due to inherited time-critical characteristics.

### 7.6.1 Purpose

The purpose of the IRP is to define a process to address Issues that arise during the CWS/CMS M&O Project Procurement such that they are documented, organized, tracked, and assigned to the appropriate party.

### 7.6.2 Issues Resolution

#### 7.6.2.1 Process

The Issues Resolution Process promotes clear issues definition, management, and efficient resolution. The Issues Tracking Process will consist of four fundamental steps:

**Identification of Issues:** Stakeholders and Procurement Project team members will identify project issues on an ongoing basis during routine staff action and review and evaluations of tracked documents. Issues may be communicated through formal Memorandums, annotated documents, Electronic messages, telephonic messages, Fax transmissions, verbal dialogues, and other means.

**Documenting Issues:** The Project Manager will manage the recording of Issues and their resolution thereof. The Issue Resolution Process will provide the means to link Issues to related Issues, and to link Issues to Resultant RFP Revisions. Procurement Project team members will document Issue resolutions and Revisions. The instructions for implementing the Issue Resolution Process will be detailed in Issues and Revisions Management procedures document.

**Resolving Issues:** The Procurement Project team will review the Issues on an as-needed and as-assigned basis. Unresolved Issues will be reviewed by the Project Manager to determine if they should be escalated to the Project Director to determine a suitable means for addressing the Issue. Issues that change the Procurement Project's Scope, Schedule, or Cost will be coordinated with the appropriate Stakeholders before publication of Revisions resolving the Issues. Issues that do not change the Procurement Project's Scope, Schedule, or Cost will be applied and the appropriate Stakeholders notified after publication.

**Closing Resolved Issues:** After an Issue has been resolved, the responsible team member or Project Manager will update the Issues status with an appropriate description of the resolution or outcome.

## 7.7 Subcontractor Management Plan

Not applicable.

## 7.8 Process Improvement Plan

The processes used during the CWS/CMS M&O Procurement project will be periodically assessed to identify areas for improvement and implementing improvements. As areas for improvement are identified, measures will be taken to assess the area and determine how improvements can be made. The Project Manager will review any changes to the processes and ensure that the enhancements do not impact the cost, schedule, or project performance adversely. Also the improvements will be evaluated to ensure they do not conflict with any State or Federal policies and requirements. The improvement process is a continuous process that will be utilized throughout the project. Any improvements will be documented for future organizational use.

## 8. Additional Plans

None.

## 9. Plan Appendices

## Appendix A -Procurement Project Work Breakdown Structure and Schedule

<b>TASK ID NUMBER</b>	<b>WBS NUMBER</b>	<b>TASK</b>	<b>START DATE</b>	<b>FINISH DATE</b>	<b>PREDECESSOR/ DEPENDENCIES</b>	<b>PRIMARY RESOURCE</b>
1	1	Publish RFP	Jun 4 '99	Jun 4 '99		Procurement Specialist
2	2	Revise RFP	May 10 '99	Aug 16 '00		Procurement Specialist
3	2.1	Publish Publishing Error Addendum 1	Jun 18 '99	Jun 18 '99	1FS+10d	Procurement Specialist
4	2.2	Publish Site Visits Addendum 2	Dec 30 '99	Dec 30 '99		Procurement Specialist
5	2.3	Publish Contract Language Addendum 3	May 10 '99	Feb 16 '00		Procurement Specialist
43	2.4	Publish RFP Library Addendum 5	May 27 '99	Feb 28 '00	5SS	Procurement Specialist
98	2.5	Publish Evaluation Addendum 4	Feb 7 '00	Apr 11 '00	43FS-3w	Procurement Specialist
130	2.6	Publish Cost Tables Addendum 6	Mar 15 '00	Jun 23 '00	98FS-4w	Procurement Specialist
154	2.7	Publish Final Addendum 7	Jun 26 '00	Jul 26 '00	130	Procurement Specialist
179	2.8	Publish Contingency Addendum 8	Jul 13 '00	Aug 16 '00	154FS-2w	Procurement Specialist

<b>TASK ID NUMBER</b>	<b>WBS NUMBER</b>	<b>TASK</b>	<b>START DATE</b>	<b>FINISH DATE</b>	<b>PREDECESSOR/ DEPENDENCIES</b>	<b>PRIMARY RESOURCE</b>
204	3	Prepare Draft Proposals	Jun 25 '99	Aug 18 '00	1	Bidders
205	3.1	Review Library	Feb 29 '00	Apr 24 '00	43	Bidders
206	3.2	Last day to Submit Letter of Intent	Jun 25 '99	Jun 25 '99	1FS+3w	Project Manager Consultant
207	3.3	Prepare Proposed Contract Language	Apr 13 '00	Jul 7 '00	"5,98FF+2w,130F F+9d"	Bidders
208	3.4	Last day to Submit Proposed Contract Language	May 30 '00	May 30 '00	"206FS+2w,207,1 30FF+9d"	Procurement Specialist
209	3.5	Negotiate Contract Language	May 30 '00	Aug 1 '00		Project Manager Consultant
217	3.6	Publish Final Contract Language Addendum	Aug 1 '00	Aug 3 '00	209FS-1d	Procurement Specialist
218	3.7	Last Day for Bidders to Submit Clarification Questions	Aug 4 '00	Aug 4 '00		Procurement Specialist
219	3.8	Last Day for Bidders to Request RFP Requirements Change	Aug 11 '00	Aug 11 '00	218FS+5d	Procurement Specialist
220	3.9	Last Day for Bidders to Protest the RFP	Aug 18 '00	Aug 18 '00	219FS+5d	Procurement Specialist
221	4	Draft Proposals Due	Aug 25 '00	Aug 25 '00	220FS+5d	Bidders



TASK ID NUMBER	WBS NUMBER	TASK	START DATE	FINISH DATE	PREDECESSOR/DEPENDENCIES	PRIMARY RESOURCE
222	5	Construct Evaluation Capability	May 10 '99	Sep 6 '00		Procurement Consultant for Evaluation Management
223	5.1	Create Evaluation Plan	May 10 '99	Apr 4 '00		Procurement Consultant for Evaluation Management
232	5.2	Construct Evaluation Team	Mar 8 '00	Aug 11 '00	223FS-4w	Procurement Consultant for Evaluation Management
238	5.3	Prepare Evaluation Training	Jul 12 '99	May 31 '00		Procurement Consultant for Evaluation Management
242	5.4	Establish Evaluation Facility	Jul 17 '00	Aug 25 '00	"223,232FS-20d"	Procurement Consultant for Evaluation Management
249	5.5	Prepare for Evaluation	Aug 28 '00	Sep 6 '00	"238,242"	Procurement Consultant for Evaluation Management
255	6	Evaluate Draft Proposals	Aug 28 '00	Nov 30 '00	"222,221FS+1d"	Project Manager Consultant

<b>TASK ID NUMBER</b>	<b>WBS NUMBER</b>	<b>TASK</b>	<b>START DATE</b>	<b>FINISH DATE</b>	<b>PREDECESSOR/ DEPENDENCIES</b>	<b>PRIMARY RESOURCE</b>
256	6.1	Receive Draft Proposals	Aug 28 '00	Aug 28 '00		Procurement Specialist
257	6.2	Evaluate Technical Proposals	Aug 28 '00	Oct 26 '00	256	Project Manager Consultant
274	6.3	Prepare Deficiencies Letters	Oct 27 '00	Nov 15 '00	266	Procurement Specialist
275	6.4	Publish Deficiencies Letters	Nov 16 '00	Nov 16 '00	274FF+1d	Procurement Specialist
276	6.5	Conduct confidential discussions	Nov 16 '00	Nov 30 '00	275SS-1d	Procurement Specialist
277	7	Refine Requirements	Oct 26 '00	Jan 31 '01	275FS-15d	Project Director
278	7.1	Apply Requirements Updates	Nov 6 '00	Jan 31 '01		Procurement Consultant for RFP Preparation
279	7.2	Update County Equipment Lists	Oct 26 '00	Dec 13 '00		County Liaison Consultant
292	8	Prepare Final Proposals	Feb 1 '01	Mar 2 '01	277	Bidders
293	8.1	Develop Proposal Finalization Addendum	Feb 1 '01	TBD		Project Manager Consultant
294	8.2	Gain ACF Proposal Finalization Addendum approval	TBD	TBD	293	Project Director

<b>TASK ID NUMBER</b>	<b>WBS NUMBER</b>	<b>TASK</b>	<b>START DATE</b>	<b>FINISH DATE</b>	<b>PREDECESSOR/ DEPENDENCIES</b>	<b>PRIMARY RESOURCE</b>
295	8.3	Publish Proposal Finalization Addendum	TBD	TBD	294FF	Procurement Specialist
296	8.4	Compile Final Proposals	Feb 1 '01	Mar 2 '01	295FF+2w	Bidders
297	8.5	Survey References	Feb 1 '01	Mar 2 '01		Bidders
298	9	Final Proposals Due	Mar 2 '01	Mar 2 '01	292	Bidders
299	10	Evaluate Final Proposals	TBD	TBD	298FS+1d	Project Manager Consultant
300	10.1	Evaluate Final Technical Proposals	TBD	TBD		Procurement Consultant for Evaluation Management
301	10.2	Compile Technical Evaluation Results	TBD	TBD	300	Procurement Specialist
302	11	Select Winning Proposal	TBD	TBD	299	Project Director
303	11.1	Public Cost Opening	TBD	TBD	301	Procurement Specialist
304	11.2	Compile Cost Evaluation Results	TBD	TBD	303	Project Manager Consultant
305	11.3	Select Best Value/Prepare FSR for DGS	TBD	TBD	"301,304"	Project Director
306	11.4	Perform Legal Review	TBD	TBD	305SS	Legal Counsel

TASK ID NUMBER	WBS NUMBER	TASK	START DATE	FINISH DATE	PREDECESSOR/DEPENDENCIES	PRIMARY RESOURCE
307	11.5	Notify Stakeholders	TBD	TBD	306	Project Director
308	11.6	Develop APDU	TBD	TBD	307	Project Manager Consultant
309	11.7	Develop BCP	TBD	TBD	307	Project Manager Consultant
310	11.8	Gain Stakeholders Approvals	TBD	TBD	"309FS+1d,308FS+1d"	Project Director
311	12	Announce Intent to Award	TBD	TBD	"308,310"	Procurement Specialist
312	13	Last day to protest	TBD	TBD	311FS+1w	Procurement Specialist
313	14	Earliest Contract Award	Jan 23 '02	Jan 23 '02	312FS+1d	Procurement Specialist
314	15	Earliest Transition to New Contract	Jan 24 '02	Jun 26 '02	313	Bidders
315	16	Protest Period	TBD	TBD	312	Legal Counsel
316	17	Latest Contract Award	TBD	TBD	315FS+1d	Procurement Specialist
317	18	Latest Transition to New Contract	TBD	TBD	"312,316"	Bidders

## Appendix B – Communication Management Plan

### Purpose

The purpose of this Communication Management Plan is to describe the environment, define policy, establish procedures, and to allocate responsibilities to manage the communications process. Communications managed by this plan exist within the Procurement Project Team, between the Procurement Project Team and project-related government organizations, and between the government and Potential Bidders in the business community.

#### **Accuracy**

Accurate communications are necessary to ensure information is correct and the information is shared equitably. Accurate information supports the integrity of procurement information and reduces risk of misinformation or misunderstanding.

#### **Timeliness**

Timely communications are necessary to ensure the message remains relevant and accurate when delivered. Timely communications are also necessary to fulfill obligations to provide equitable access to publicly released information.

#### **Propriety**

Appropriate communications are necessary to protect information from inappropriate disclosure of information to communicants who are not permitted access to the information. Communications management establishes processes to protect information from inappropriate disclosure and to ensure appropriate information delivery.

### Objectives

#### Inform Stakeholders

- Provide Stakeholders with timely and factual information about the procurement and transition processes
- Formalize a process that will allow the CWS/CMS M&O Procurement Project Team to share information, strategy, status updates, and milestones to interested parties
- Communicate procurement and transition schedules
- Provide a mechanism to document challenges as well as achievements

#### Enroll Stakeholders and Promote Change

- Communicate the benefits and challenges that the CWS/CMS M&O Procurement Project will present, the consequences of not succeeding in this effort, and the roles of Stakeholders in making it successful
- Continue to strengthen CWS/CMS M&O Procurement Project partnerships
- Encourage acceptance by helping individuals understand the effects of change

- Address Unchanneled Communication and Rumors
- Manage stakeholder perceptions and expectations of the CWS/CMS M&O Procurement Project outcomes and requirements
- Reduce fears, uncertainty, and rumors

#### Obtain feedback from Stakeholders

- Develop a process allowing external Stakeholders to provide feedback, communicate concerns, and discuss and resolve issues relating to the procurement and transition
- Provide a forum for two-way communication
- Identify and direct issues to appropriate arenas for resolution
- Generate Project Support
- Acknowledge and recognize progress and the successes of the procurement and transition

#### Potential Barriers to Effective Communication

The following are potential barriers to the successful execution of the Communication Management Plan:

- Lack of demonstrated stakeholder support for the project
- Insufficient communication team staffing for the task
- Change in government administration and policy
- Individual or Organizational resistance to communicate

#### Expected Benefits

- Acceptance of change through open, honest education regarding the status of system acquisition, development, and implementation
- Communications that respond directly to stakeholder information needs, roles, and responsibilities
- Development of a method to identify and track the resolution of issues related to any part of the project
- Recognition of the successes as well as an enhanced understanding of the challenges and the opportunities
- Increased internal team building and team effectiveness

#### Success Factors

The following factors contribute to the success of communication:

**Awareness:** Communication about the project must occur. Stakeholders must be informed of the CWS/CMS M&O Procurement Project's objectives, outcomes, and the associated impacts, so they may prepare for and support or resist changes affecting the CWS/CMS M&O Procurement Project.

**Content:** Communication must be relevant, meaningful, and at an appropriate level of detail for the targeted audience. The message should convey realistic expectations by dealing openly with the impact of change. Communication strategies should also be based on stakeholders' needs and feedback.

**Timeliness:** Information must be shared in a timely manner to allow stakeholders opportunities to digest messages and react.

**Context:** All communications should demonstrate and reinforce management support and commitment by clearly indicating that the Project Manager and Project Director are the authoritative sources of information. Furthermore, communications should emphasize the business need.

**Format and Media:** All communications must be developed and delivered in a format that is efficient, understandable, and easily accessible. As much as possible, electronic communication methods should be used.

**Communication Flow:** The Communication Coordinator will be responsible for preparing or reviewing administrative communications to ensure CWS/CMS M&O Procurement Project correspondence conforms to State and CWS/CMS M&O Procurement Project format guidelines. In addition, The Project Manager will be responsible for preparing or reviewing procurement communications to ensure CWS/CMS M&O Procurement Project correspondence conforms to State and CWS/CMS M&O Procurement Project format guidelines and continuity, wherever possible, of the project's message to Stakeholders and external agencies. This will ensure the message conveyed to the project's interested parties is consistent with CWS/CMS M&O Procurement Project's goals and objectives.

**Effectiveness:** To ensure effective communications, regular assessments of the communication plan and process must be conducted. The CWS/CMS M&O Procurement Project Team will use a database-supported process to track issues and record resolutions that will be categorized by the team. The Team will use the process to ensure effective follow up on communication issues.

## Assumptions

The successful execution of the communication plan is dependent upon the following assumptions:

- Participation from Stakeholders, the CWS/CMS Project, and county welfare departments
- Adequate administrative support and equipment for the development, production, and distribution of communications

## Information Confidentiality

The CWS/CMS Project contains confidential information with access limited to authorized persons and organizations. This confidential project information must not be disclosed to individuals or organization not authorized to possess the information. The CWS/CMS M & O Procurement Project also contains confidential information restricted to the procurement team. This confidential procurement information must not be disclosed to individuals or organization not approved to possess the information. Project communications occur within and between three domains.

### Core Domain

The Core Domain is comprised of the CWS/CMS M & O Procurement Project Team that consists of State, County and Contracted personnel specifically assigned to the procurement team for the purpose of prosecuting the CWS/CMS M & O Procurement. CWS/CMS M & O Procurement Project Team members require specific access to confidential procurement information to perform their procurement-related responsibilities.

### Collateral Domain

The Collateral Domain contains participants who require limited access to confidential procurement information to perform procurement-related action(s). Participants' primary responsibilities are not specifically assigned to the procurement team. Collateral Participants may perform their procurement-related responsibilities as Federal, State, or County employees or authorized agents thereof.

### Complementary Domain

The Complementary Domain contains participants who are not permitted access to confidential procurement information but still perform procurement-related actions. Complementary Participants may participate in the CWS/CMS M & O Procurement Project as interested or potential Bidders. Participants in the Complementary Domain may possess their own proprietary confidential procurement information such as the Bidder's own proposal. Other examples could be Complementary Participants who perform procurement-related responsibilities as Federal, State, or County employees or authorized agents thereof.

## Constraints on Confidential Information Communication

### Core Participants

Two constraints limit the communication of confidential procurement information within the CWS/CMS M & O Transition procurement team:

When a procurement team member has not accomplished and signed a Non-Disclosure Agreement.

When a procurement team member is determined to have an unresolvable Conflict of Interest circumstance that would preclude access to confidential procurement information.



## Collateral Participants

Three constraints limit the communication of confidential procurement information with other Government Participants outside the CWS/CMS M & O Transition procurement team:

Government Participants access to procurement information is constrained to the minimum information necessary to perform their specified procurement-related action(s).

When a Government Participant has not accomplished and signed a Non-Disclosure Agreement.

When a Government Participant is determined to have an unresolvable Conflict of Interest circumstance that would preclude access to confidential procurement information.

## Complementary Participants

Three constraints limit the communication of confidential procurement information with other Government Participants outside the CWS/CMS M & O Transition procurement team:

An Other-Participant is permitted access only to confidential procurement information that specifically applies singularly to itself. This circumstance occurs when a potential Bidder's own proprietary or confidential information exists as confidential procurement information. Only authorized procurement participants and the owning Bidder will be permitted access to a potential Bidder's confidential procurement information.

Confidential procurement information has been made accessible to all participants in the procurement. This circumstance occurs when confidential procurement information has been publicly released. Examples of public release of previously confidential procurement information include the release of the Request for Proposal, the release of Addenda to the RFP, and the Public Opening of Cost Proposals.

Upon direction of a competent legal authority.

## Message Types

Message Types are described in the following table.

**CWS/CMS M&O Project Message Types**

MESSAGE TYPE	MESSAGE CONTENT	DESCRIPTION
I	Project Overview	The Project Manager will publish a high-level CWS/CMS M&O project schedule, task schedules, information about internal and external meetings, and routine project publications.
II	County-Specific Issues	The County Liaison Consultant will communicate to counties specifically for the resolution of county-specific issues. These issues will include application, Help Desk, data conversion, change leadership and ad-hoc training issues, as well as project status and scheduling as it relates to each specific county.
III	Ad-Hoc Questions	The Procurement Project Team will publish and disseminate the answers to Ad-Hoc questions when appropriate.
IV	General Project Information	The Procurement Project Team will make general project information available as requested and depending on the access approval of the requestor. General information includes project scope and charter, list of project partners and deliverables, project organization chart and specific information about the project.
V	Project Issues	The Procurement Project Team will address project issues as they surface through the issue resolution process. These issues could include anything from overall project direction to specific procurement issues. The issues and resolutions will be communicated to appropriate stakeholders.
VI	Project Status	The Project Manager will complete monthly status reports. The Project Director will publicize project status on an on-going basis and as appropriate.
VII	Schedules	The Project Director and Project Manager will inform stakeholders of the specific schedules appropriate to them.

## Communications Media

Communications Media is the means or channels for delivering messages to the targeted audience. Not all channels or methods are appropriate for all audiences and depending on the length or format of the message, some channels are not effective or viable. The Communications Media identified as appropriate for the Procurement Project are described below:

**CWS/CMS M&O Project Communications Media**

<b>COMMUNICATION MEDIA</b>	<b>DESCRIPTION</b>
County Visits	When necessary, members of the Procurement Team will make visits to specific counties. Generally these visits will occur to address county-specific issues and to assist with training.
Electronic Communication	Procurement Project stakeholders communicate information electronically (e.g., e-mail, fax, voice mail, etc.). Electronic communication media available to each of the counties will be published on the agency contact list and the Director database and will be used as often as possible.
Interviews	The Procurement Team will conduct interviews with subject matter, technical, and functional experts and others as needed for information gathering and validation.
Meetings	Meetings provide important forums for the Procurement Team to communicate with stakeholders and internal team members. The Procurement Team will host and attend internal and external meetings. The purpose, participants, and confidentiality constraints will affect how the Procurement Team participates in these meetings and how and which information about the status of the project is shared.
Monthly Status Reports	Project status reports will be issued monthly to report the status of significant accomplishments, issues raised, issues resolved and significant accomplishments anticipated for the next report.
Presentations	The Procurement Team members will be available to make formal and informal presentations at external and regional meetings where providing project status and other important project information would be appropriate.
California State Contracts Register (CSCR) Website	Procurement documents published on the California State Contract Register Website are provided to share project information with project stakeholders and other interested parties. The Website will be updated on a regular basis and updates will be made through the assigned State resource to ensure version control. The Website is a practical approach to meeting customer service requirements, obtaining information about interested parties, providing efficiency for the customer, and using technology to improve communication.
Work Group Sessions	The Procurement Team will convene work group sessions that will include subject matter, functional, and technical experts. These sessions will be conducted to address Procurement issues, develop business requirements, and coordinate Procurement activities.

**Distribution**

The Communications Distribution requirements for the Procurement Project are described below:

**CWS/CMS M&O Project Communications Distribution Requirements**

<b>NEEDS</b>	<b>RECIPIENTS</b>	<b>FREQUENCY</b>	<b>MEDIA</b>
Procurement Project Status Updates	California Counties and other Authorized Agencies	As needed	County Visits
	Stakeholders, California Counties, other Authorized Agencies, Prospective Bidders and Interested People/Organizations	As needed	Electronic Communication
	Stakeholders, California Counties, other Authorized Agencies, Prospective Bidders and Interested People/Organizations	Quarterly	Information Letters
	Stakeholders, California Counties, other Authorized Agencies, Prospective Bidders and Interested People/Organizations	As needed	Meetings (External)
	Project Director and Stakeholders	Monthly	Monthly Status Reports
Procurement Project Status Updates	Stakeholders, California Counties, other Authorized Agencies, Prospective Bidders and Interested People/Organizations	As needed	Memorandums
Information gathering and validation.	Stakeholders, California Counties, and other Authorized Agencies	As needed	Interviews
Procurement Documents	Prospective Bidders and Interested People/Organizations	As needed	CSCR Website
	Customers of Prospective Bidders	As needed	Surveys (and Questionnaires)
	Prospective Bidders and Interested People/Organizations	As needed	Traditional Communication

**Collection**

The Information Collection requirements for the Procurement Project are described below:

**CWS/CMS M&O Project Information Collection Requirements**

NEEDS	RECIPIENTS	FREQUENCY	MEDIA
Information gathering and validation	State Procurement Team	As needed	Interviews
Current CWS/CMS Status Updates	State Procurement Team	As needed	California Counties and other Authorized Agencies' Meetings (External)
Current CWS/CMS Status Updates	State Procurement Team	As needed	Meetings (Internal)
Procurement Documents	State Procurement Team	As needed	Memorandums
		During Final Proposals Preparation	Surveys/Questionnaires on Past Performance and Customer Satisfaction
		Draft and Final Versions	Bidder Proposals
Procurement Documents	State Procurement Team	As needed	CSCR Website list of People & 1 Organizations who Download the RFP

**Contacts List**

The Procurement Project will maintain a list of contacts using Microsoft Outlook. The Contacts List will be managed and maintained by the Communication Coordinator.

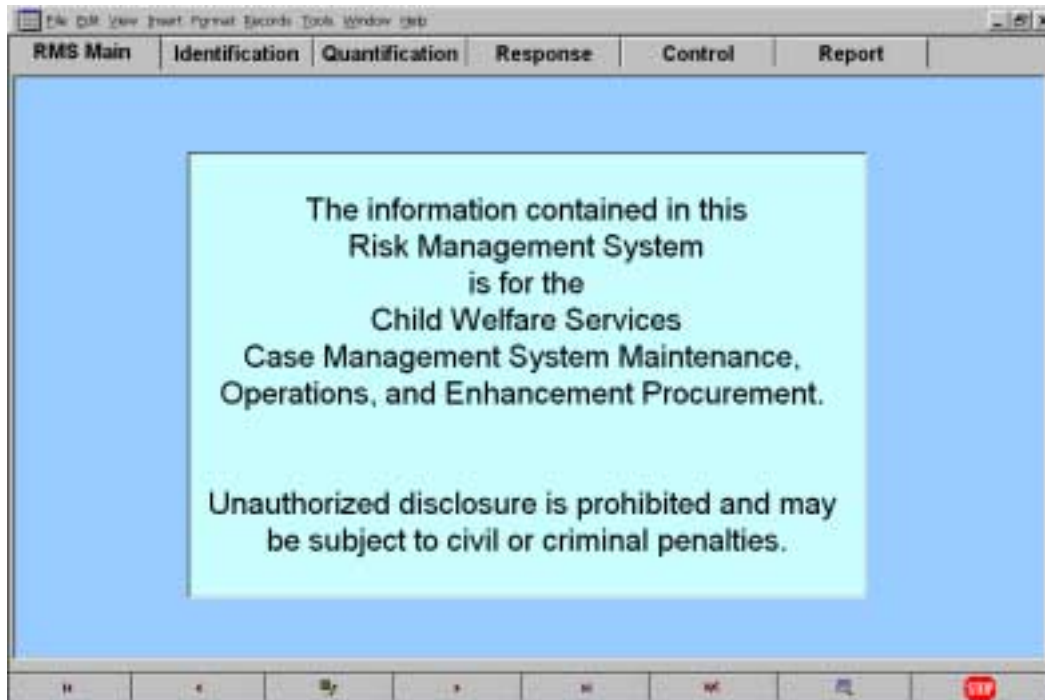
## Appendix C – Risk Management System (RMS)

### Overview

The Risk Management System provides the capability to electronically record information to support the management of risks. This system provides the means to record information, track mitigation, and generate reports for risks entered into it. The RMS provides a separate user input screen for each step in the Project Management Institute's (PMI) recommended Risk Management Process. Information managed in the RMS may be compiled into printable reports or sent to recipients via electronic communication systems.

### RMS Main Screen

This screen serves to remind the user of the confidentiality of the information contained in the RMS and shields any confidential information already recorded from inadvertent viewing whenever the RMS is started. This screen does not require any user actions. Clicking on the **Identification**, **Quantification**, **Response**, **Control**, or **Report** tab at the top of the screen will change the view to the screen for that tab.



## Identification Screen

This screen is used to input Risk Identification data into the RMS. The form will automatically assign a Risk Number and the Date the Risk was opened each time a new record is entered. The Source, Event, Symptoms, Status, Scope, Title, and Description are required fields for the Risk. When the Risk is closed, the user is responsible for entering the Date that it was closed. To fill in the Source, Event, Symptoms, Status, or Scope, just click on the down arrow at the right side of the field and select from the choices offered. Textual information will be entered in the Title and Description Fields.

The screenshot displays a software window titled "RMS Main" with a menu bar (File, Edit, View, Insert, Format, Records, Tools, Window, Help). The "Identification" tab is selected. The form contains the following fields:

- Risk Source:** A dropdown menu.
- Risk Event:** A dropdown menu.
- Date Opened:** A date field showing "Oct 4, 2000".
- Risk Status:** A dropdown menu.
- Risk Scope of Management Visibility:** A dropdown menu.
- Date Closed:** An empty date field.
- Title of Risk Number:** A text input field.
- Risk Symptoms:** A text input field.
- Description of Risk Number:** A large text input area.

The bottom of the window features a toolbar with icons for navigation and a red "STOP" button.

## Quantification Screen

This screen is used to input your risk quantification data into the RMS. The form will automatically assign the Risk Number when any of the Risk's Identification information is entered. The user is responsible for entering the Risk's Probability, Severity, Impact, Stakeholders' Tolerance, Timeframe, Duration, Opportunities to Pursue, and Threats to Accept. In order to fill in the Risk's Probability, Severity, Impact, Stakeholders' Tolerance, Timeframe, or Duration the user will click on the down arrow at the right side of the field and select from the choices offered. Textual information will be entered in the Opportunities to Pursue, and Threats to Accept Fields.

The screenshot displays the 'Quantification' tab within the RMS application. The interface features a menu bar at the top with options: File, Edit, View, Insert, Format, Records, Tools, Window, and Help. Below the menu bar are six tabs: RMS, Identification, Quantification (selected), Response, Control, and Report. The main content area is divided into two columns. The left column contains three dropdown menus with labels: 'What is the Probability the Risk will occur?', 'What would be Impacted if the Risk Occurred?', and 'What is the Timeframe the Risk might start?'. The right column contains three dropdown menus with labels: 'Potential Severity of the Impact', 'What is the Stakeholders' Risk Tolerance?', and 'How long would the Risk last?'. At the bottom of the form are two large text input areas labeled 'Opportunities to Pursue' and 'Threats to Accept'. A status bar at the very bottom contains several icons and a red 'STOP' button.



## Response Screen

This screen is used to input the assignment of responsibility for the Contingency Plan. Textual information will be entered in the Contingency Plan.

The screenshot shows a software application window titled "RMS Main". The window has a menu bar with "File", "Edit", "View", "Insert", "Format", "Records", "Tools", "Window", and "Help". Below the menu bar is a tabbed interface with tabs labeled "Identification", "Quantification", "Response", "Control", and "Report". The "Response" tab is currently selected. The main content area of the "Response" tab is divided into two sections. The top section is titled "Who is assigned responsibility for developing the Contingency Plan?" and contains a text input field. The bottom section is titled "Contingency Plan" and contains a large text input area. The window has a standard Windows-style border with a title bar and a status bar at the bottom.

## Control Screen

This screen is used to input the actions taken to mitigate the Risk in the RMS. Textual information will be entered in the Corrective Actions.

The screenshot shows a software window titled "RMS" with a menu bar (File, Edit, View, Insert, Format, Records, Tools, Window, Help). Below the menu bar is a tabbed interface with tabs for "Identification", "Quantification", "Response", "Control", and "Report". The "Control" tab is currently selected. Inside the "Control" tab, there is a large text area labeled "Corrective Actions" in red text. The text area is empty, indicating where textual information for corrective actions should be entered. At the bottom of the window, there is a status bar with several icons and a red "STOP" button.

## Report Screen

This screen is used to generate reports containing information about the Risks in the RMS. The user will click on a button to Print Preview the selected pre-formatted Risk report.

